

## **CSBG State Plan**

**Program Name:** Community Services Block Grant

**Grantee Name:** Alabama

**Report Name:** CSBG State Plan

**Report Period:** 10/01/2022 to 09/30/2023


**Report Status:** Submission Accepted by CO

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# CSBG Cover Page (SF-424M)

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>		<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires: 08/30/2024</b>	
<b>COVER PAGE</b>			
<b>* 1.a. Type of Submission:</b> <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)	<b>* 1.b. Frequency:</b> <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	<b>* 1.c. Consolidated Application/ Plan/Funding Request?</b> Explanation: _____ 2. Date Received: _____ 3. Applicant Identifier: _____ 4a. Federal Entity Identifier: _____ 4b. Federal Award Identifier: _____	<b>* 1.d. Version:</b> <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update State Use Only: 5. Date Received By State: _____ 6. State Application Identifier: _____
<b>7. APPLICANT INFORMATION</b>			
<b>* a. Legal Name:</b> Alabama Department of Economic and Community Affairs			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 636000619		<b>* c. Organizational DUNS:</b> 062620604	
<b>* d. Address:</b>			
* Street 1:	401 Adams Avenue, Suite 580	Street 2:	PO Box 5690
* City:	Montgomery	County:	Montgomery
* State:	AL	Province:	
* Country:	United States	* Zip / Postal Code:	36103-5690
<b>e. Organizational Unit:</b>			
Department Name: Community Programs Unit		Division Name: Energy	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>			
Prefix:	* First Name: Rhoda	Middle Name:	* Last Name: Talley
Suffix:	Title: CSBG Program Mgr.	Organizational Affiliation: ADECA	
* Telephone Number: (334) 242-5412	Fax Number:	* Email: rhoda.talley@adeca.alabama.gov	
<b>* 8a. TYPE OF APPLICANT:</b> A: State Government			
<b>b. Additional Description:</b>			
<b>* 9. Name of Federal Agency:</b>			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles		93569	Community Services Block Grant
<b>11. Descriptive Title of Applicant's Project</b> Administration of Alabama's CSBG Program			
<b>12. Areas Affected by Funding:</b> All of Alabama's 67 counties are covered by the state's 18 community action agencies			
<b>13. CONGRESSIONAL DISTRICTS OF:</b>			
<b>* a. Applicant</b> 02		<b>b. Program/Project:</b> Statewide - Districts 1-7	
Attach an additional list of Program/Project Congressional Districts if needed.			
<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			

c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official 	18e. Date Report Submitted (Month, Day, Year) 01/09/2023
Attach supporting documents as specified in agency instructions.	

**Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:08/30/2024	
<b>SECTION 1</b> <b>CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter</b>			
<b>1.1. Identify whether this is a One-Year or a Two-Year Plan</b>		<input type="radio"/> one-year <input checked="" type="radio"/> two-year	
<b>1.1a. Provide the federal fiscal years this plan covers:</b>		Year One 2023	Year Two 2024
<b>1.2. Lead Agency and Authorized Official:</b> Update the following information in relation to the lead agency and authorized official designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act.  <i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information regarding the state lead agency and authorized official changed since the last submission of the State Plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, select the fields that have been changed [Check all that apply]			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input type="checkbox"/> Office Number	<input type="checkbox"/> Fax Number	
<input type="checkbox"/> Email Address	<input type="checkbox"/> Website		
<b>1.2a. Lead agency</b>			
<b>1.2b. Cabinet or administrative department of this lead agency</b> <i>[Check one and provide a narrative where applicable]</i>			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Community Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Other, describe			
<b>1.2c. Cabinet or Administrative Department Name:</b> Provide the name of the cabinet or administrative department of the CSBG authorized official		Alabama Department of Economic and Community Affairs	
<b>1.2d. Authorized Official of the Lead Agency</b>			
Name: Kenneth W. Boswell		Title: Agency Director	
<b>1.2e. Street Address</b>		401 Adams Avenue	
<b>1.2f. City</b>		Montgomery	<b>1.2g. State</b> AL
<b>1.2i. Telephone number</b> 334 242 - 5591 ext.		<b>1.2j. Fax number</b> 334 242 - 5099	
<b>1.2k. Email address</b> kenneth.boswell@adeca.alabama.gov		<b>1.2l. Lead agency website</b> www.adeca.alabama.gov	
<b>1.3. Designation Letter:</b>  Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.			
<b>1.4. CSBG Point of Contact:</b> provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.			
Has Information regarding to the state point of contact has changed since the last submission of the State Plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			

If yes, select the fields that have changed [check all the apply]			
<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Point of Contact
<input type="checkbox"/>	City	<input type="checkbox"/>	Zip Code
<input type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address
<input type="checkbox"/>		<input type="checkbox"/>	Website
1.4a. Agency Name			
1.4b Point of Contact Name			
Name: Rhoda Talley		Title: CSBG Program Manager	
1.4c. Street Address		401 Adams Avenue	
1.4d. City		Montgomery	1.4e. StateAL 1.4f. Zip 36103
1.4g. Telephone Number 334 242 - 5412 ext.		1.4h. Fax Number 334 242 - 0552	
1.4i. Email Address rhoda.talley@adeca.alabama.gov		1.4j. Agency Website www.adeca.alabama.gov	
1.5. Provide the following information in relation to the State Community Action Association.			
There is currently a state Community Action Association within the state. <input checked="" type="radio"/> Yes <input type="radio"/> No			
Has Information regarding the state Community Action Association has changed since the last submission of the State Plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, select the fields that have been changed [Check all the apply]			
<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Executive Director
<input type="checkbox"/>	City	<input type="checkbox"/>	State
<input type="checkbox"/>	Office Number	<input type="checkbox"/>	Fax Number
<input type="checkbox"/>	Website	<input type="checkbox"/>	RPIC Lead
1.5a. Agency Name Community Action Agencies Association of Alabama			
1.5b. Executive Director or Point of Contact			
Name: Kris Rowe		Title: Executive Director	
1.5c. Street Address		201 Beacon Parkway West, Suite 204	
1.5d. City		Birmingham	1.5e. StateAL 1.5f. Zip 35201
1.5g. Telephone number 205 227 - 7688 ext.		1.5h. Fax number 205 227 - 7923	
1.5i. Email Address krowe@caaalabama.org		1.5j. State Association Website http://www.caaalabama.org	
1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead <input type="radio"/> Yes <input checked="" type="radio"/> No			

## Section 2: State Legislation and Regulation

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires:08/30/2024</b>
<b>SECTION 2</b> <b>State Legislation and Regulation</b>	
<b>2.1. CSBG State Legislation:</b> State has a statute authorizing CSBG <input checked="" type="radio"/> Yes <input type="radio"/> No	
<b>2.2. CSBG State Regulation:</b> State has regulations for CSBG <input checked="" type="radio"/> Yes <input type="radio"/> No	
<b>2.3. Legislation/Regulation Document:</b> <i>Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Item 2.1. and/or Item 2.2.</i> document attached	
<b>2.4. State Authority:</b> <i>Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:</i>	
<b>2.4a. Authorizing Legislation:</b> State legislature enacts authorizing legislation or amendments to an existing authorizing statute, last federal fiscal year <input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>2.4b. Regulation Amendments:</b> State established or amended regulations for CSBG last federal fiscal year <input type="radio"/> Yes <input checked="" type="radio"/> No	

### Section 3: State Plan Development and Statewide Goals

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires: 08/30/2024</b>
<b>SECTION 3</b> <b>State Plan Development and Statewide Goals</b>	
<b>3.1. CSBG Lead Agency Mission and Responsibilities:</b> <i>Briefly describe the mission and responsibilities of the state agency that serves as the CSBG Lead Agency.</i>	
<p>ADECA is responsible for administering a broad range of State and Federal programs that contribute to the department's mission, Building Better Alabama Communities. Each year ADECA distributes millions of dollars to Alabama cities, counties, non-profit organizations, and others. The grants support economic development projects, infrastructure improvements, energy conservation, law enforcement and traffic safety, recreation development, and assistance to low-income families. ADECA also works to monitor and protect Alabama's water resources, and distribute State and Federal surplus property to local governments and other qualified organizations. ADECA's programs are as diverse as the people of Alabama and impact every corner of the state. The department works to assist children, the elderly, victims of crime and abuse, the disadvantaged, and low-income families. Businesses, local governments, schools, and non-profit organizations benefit from the hundreds of grants and contracts administered by ADECA.</p>	
<b>3.2. State Plan Goals:</b> <i>Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.</i>	
<i>(Note: This information is associated with State Accountability Measure 1Sa(i) and pre-populates the State's Annual Report, Module 1, Item B.1.)</i>	
<p>The goals of the State CSBG office are: 1) To submit an application to the Secretary containing information described in Section 676 of the Act (675A(b)). 2) To distribute 95% of the available funds to the eligible entities for the stated purposes of the CSBG program. 3) To spend no more than 5% of the grant received for administrative purposes. 4) To hold a public hearing in the state with sufficient time and distribution of notice to give the public an opportunity to comment on the proposed use and distribution of funds. 5) To review the organizational standards documentation from the eligible entities annually and provide technical assistance as needed. 6) To provide communication in a timely manner to the eligible entities on grant requirements, training, and technical assistance opportunities.</p>	
<b>3.3. State Plan Development:</b> <i>Indicate the information and input the state accessed to develop this State Plan.</i>	
<b>3.3a. Analysis of state-level tools [Check all that apply and provide additional information where applicable]</b>	
<input checked="" type="checkbox"/> State Performance Indicators and/or National Performance Indicators (NPIs)	
<input checked="" type="checkbox"/> U.S. Census data	
<input checked="" type="checkbox"/> State Performance Management Data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)	
<input checked="" type="checkbox"/> Monitoring Visits/Assessments	
<input type="checkbox"/> Tools Not Identified Above (specify)	
<b>3.3b. Analysis of local-level tools [Check all that applies and provide additional information where applicable]</b>	
<input checked="" type="checkbox"/> Eligible Entity Community Needs Assessments	
<input checked="" type="checkbox"/> Eligible Entity Community Action Plans	
<input checked="" type="checkbox"/> Public Hearings/Workshops	
<input type="checkbox"/> Tools Not Identified Above (e.g., State required reports)[specify]	
<b>3.3c. Consultation with [Check all that applies and provide additional information where applicable]</b>	
<input checked="" type="checkbox"/> Eligible Entities (e.g., meetings, conferences, webinars; not including the public hearing)	
<input checked="" type="checkbox"/> State Association	
<input type="checkbox"/> National Association for State Community Services Programs (NASCSF)	
<input type="checkbox"/> Community Action Partnership (NCAP)	
<input type="checkbox"/> Community Action Program Legal Services (CAPLAW)	
<input type="checkbox"/> CSBG Tribal Training and Technical Assistance (T/TA) provider	
<input type="checkbox"/> Regional Performance Innovation Consortium (RPIC)	
<input type="checkbox"/> Association for Nationally Certified ROMA Trainers (ANCRT)	
<input type="checkbox"/> Federal CSBG Office	
<input checked="" type="checkbox"/> Organizations not identified above [Specify]	
State staff reviewed the 2021 American Customer Satisfaction Index (ACSI) survey and the comments within the survey. Information from community	

action plans, monitoring visits, telephone conversations, and one-on-one conversations with agency management and staff are used in the development of the state plan.			
<b>3.4. Eligible Entity Involvement</b>			
<b>3.4a. State Plan Development</b> Describe the specific steps the State took in developing the State Plan to involve the eligible entities.			
<i>(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)</i>			
State staff continuously strives to develop the state plan by using direct communication with agency management and staff. In-person meetings were not conducted this year, but information gained through performance reviews, one-on-one meetings, and telephone conversations has been used in the development of the plan.			
<b>3.4b. Performance Management Adjustment:</b> Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous State Plans, in order to:			
1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities?			
Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.			
<i>(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.)</i>			
An email was sent out on June 3, 2022 requesting input on the state plan.			
<b>3.5. Eligible Entity Overall Satisfaction:</b> Provide the State's target for eligible entity Overall Satisfaction during the performance period:			
Year One	75	Year Two	78
Instructional Note: The state's target score will indicate improvement or maintenance of the state's Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities. <i>(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)</i>			



## Section 4: CSBG Hearing Requirements

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> Administration for Children and Families Community Services Block Grant (CSBG)		<b>Form Approved</b> OMB No: 0970-0382 Expires: 08/30/2024		
<b>SECTION 4</b> <b>CSBG Hearing Requirements</b>				
<b>4.1. Public Inspection:</b> Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.				
Notice of the public hearing was posted on the Secretary of State's website on July 6, 2022. A draft of the state plan was posted on ADECA's website for review on July 11, 2022. The notice of the public hearing was emailed to the executive directors of all community action agencies on July 13th asking that the notice be posted in all sites.				
<b>4.2. Public Notice/Hearing:</b> Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under Section 676(a)(2)(B) of the CSBG Act.				
Notice of the public hearing was distributed as described above. During the hearing the participants were informed that comments on the state plan would be accepted through August 19, 2022.				
<b>4.3. Public and Legislative Hearings:</b> In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.				
	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	07/20/2022	401 Adams Ave. Montgomery, AL (virtually via TEAMS)	Public	<input type="checkbox"/>
2	08/04/2022	11 South Union Street, Room 200, Montgomery, AL	Legislative	<input type="checkbox"/>
<i>NOTE : States can add rows as needed for each hearing as needed</i>				
<b>4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.</b> see attached				

## Section 5: CSBG Eligible Entities

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>			<b>Form Approved</b> <b>OMB No:0970-0382</b> <b>Expires:08/30/2024</b>	
<b>SECTION 5</b> <b>CSBG Eligible Entities</b>				
<b>5.1. CSBG Eligible Entities:</b> In the table below, indicate whether each eligible entity in the state, is public or private, the type(s) of entity, and the geographical area served by the entity. <i>Note: Table 5.1 pre-populates the Annual Report, Module 1, Table C.1.</i>				
Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other				
#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	Alabama Council on Human Relations, Inc.	Lee County	Non-Profit	Limited Purpose Agency
2	Community Action Agency of South Alabama	Baldwin County, Clarke County, Conecuh County, Escambia County, Marengo County, Monroe County, Wilcox County	Non-Profit	Community Action Agency
3	Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	Chambers County, Coosa County, Tallapoosa County	Non-Profit	Community Action Agency
4	Eleventh Area of Alabama Opportunity Action Committee, Inc.	Autauga County, Chilton County, Elmore County, Shelby County	Non-Profit	Community Action Agency
5	Community Action of Etowah County, Inc.	Etowah County	Non-Profit	Community Action Agency
6	Southeast Alabama Community Action Partnership, Inc.	Barbour County, Coffee County, Geneva County, Henry County, Houston County	Non-Profit	Community Action Agency
7	Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	Limestone County, Madison County	Non-Profit	Community Action Agency
8	Jefferson County Committee for Economic Opportunity	Jefferson County	Non-Profit	Community Action Agency
9	Macon Russell Community Action Agency, Inc.	Macon County, Russell County	Non-Profit	Community Action Agency
10	Marion-Winston Counties Community Action Committee, Inc.	Marion County, Winston County	Non-Profit	Community Action Agency
11	Mobile Community Action, Inc.	Mobile County, Washington County	Non-Profit	Community Action Agency
12	Montgomery Community Action Committee & CDC, Inc.	Montgomery County	Non-Profit	Community Action Agency
13	Community Action Partnership of North Alabama, Inc.	Cullman County, Lawrence County, Morgan County	Non-Profit	Community Action Agency
14	Community Action Agency of Northeast Alabama, Incorporated	Blount County, Cherokee County, DeKalb County, Jackson County, Marshall County, St. Clair County	Non-Profit	Community Action Agency
15	Community Action Agency of Northwest Alabama, Inc.	Colbert County, Franklin County, Lauderdale County	Non-Profit	Community Action Agency
16	Organized Community Action Program Inc.	Bullock County, Butler County, Covington County, Crenshaw County, Dale County, Lowndes County, Pike County	Non-Profit	Community Action Agency
17	Pickens County Community Action Committee, and Community Development Corporation, Inc.	Pickens County	Non-Profit	Community Action Agency
18	Community Action Agency of TCRCC	Calhoun County, Clay County, Cleburne County, Randolph County, Talladega County	Non-Profit	Community Action Agency
19	Walker County Community Action Agency, Inc.	Walker County	Non-Profit	Community Action Agency
20	Community Service Programs of West Alabama, Inc.	Bibb County, Choctaw County, Dallas County, Fayette County, Greene County, Hale County, Lamar County, Perry County, Sumter County, Tuscaloosa County	Non-Profit	Community Action Agency

<b>5.2. Total number of CSBG eligible entities 20</b>				
<b>5.3. Changes to Eligible Entities List:</b> Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.				
One or more of the following changes were made to the eligible entity list: [Check all that apply].				
<input type="checkbox"/> Designation and/or Re-Designation <input checked="" type="checkbox"/> De-Designations and/or Voluntary Relinquishments <input checked="" type="checkbox"/> Mergers <input type="checkbox"/> No Changes to Eligible Entities List				
<b>5.3a. Designation and Re-Designation:</b> Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.				
<b>CSBG Eligible Entity</b>	<b>Type</b>	<b>Start Date</b>	<b>Geographical Area Served</b>	<b>Delete</b>
<b>5.3b. Designation and Voluntary Relinquishments:</b> Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year (FFY). Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated)				
<b>CSBG Eligible Entity</b>	<b>Reason</b>			<b>Delete</b>
Jefferson County Committee for Economic Apportunity	Voluntarily Relinquished			
<b>5.3c. Mergers:</b> In the table below, provide information about any mergers or other combinations of two or more eligible entities that were individually listed in the prior State Plan.				
<b>Original CSBG Eligible Entities</b>	<b>Surviving CSBG Eligible Entity</b>	<b>New Name (as applicable)</b>	<b>DUNS No.</b>	<b>Delete</b>
Marion-Winston Counties Community Action Committee, Inc.	Community Action Partnership of North Alabama, Inc.	N/A	082065335	

## Section 6: Organizational Standards for Eligible Entities

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires: 08/30/2024</b>	
<b>SECTION 6</b> <b>Organizational Standards for Eligible Entities</b>		
<b>Note:</b> Reference IM 138, <i>State Establishment of Organizational Standards for CSBG Eligible Entities</i> , for more information on Organizational Standards. Click <a href="#">HERE</a> for IM 138.		
<b>6.1. Choice of Standards:</b> Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period  <input checked="" type="radio"/> COE CSBG Organizational Standards <input type="radio"/> Modified version of COE CSBG Organizational Standards <input type="radio"/> Alternative set of Organizational Standards		
<b>6.1a. Modified Organizational Standards:</b> In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.		
<b>6.1b. Alternative Organizational Standards:</b> If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.		
<b>6.1c. Alternative Organizational Standards Changes:</b> If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE-developed standards  <input checked="" type="radio"/> There were no changes from the previous State Plan submission  Provide reason for using alternative standards  Describe rigor compared to COE-developed Standards		
<b>6.2. Implementation:</b> Check the box that best describes how the state officially adopt(ed) organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. <i>[Check all that apply and narrative where applicable]</i>  <input type="checkbox"/> Regulation <input type="checkbox"/> Policy <input checked="" type="checkbox"/> Contracts with eligible entities <input type="checkbox"/> Other, describe:  		
<b>6.3. Organizational Standards Assessment:</b> Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). <i>[Check all that apply.]</i>  <input type="checkbox"/> Peer-to-peer review <i>(with validation by the State or state-authorized third party)</i> <input type="checkbox"/> Self-assessment <i>(with validation by the State or state-authorized third party)</i> <input type="checkbox"/> Self-assessment/peer review with state risk analysis <input type="checkbox"/> State-authorized third party validation <input checked="" type="checkbox"/> Regular, on-site CSBG monitoring <input checked="" type="checkbox"/> Other   Agencies use the statewide data system to upload supporting documentation for the organizational standards.		
<b>6.3a. Assessment Process:</b> Describe the planned assessment process.  Agencies use the statewide data system to upload supporting documentation for the organizational standards. State CSBG staff review the documentation as part of their monthly desk review.		
<b>6.4. Eligible Entity Exemptions:</b> Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? <input type="radio"/> Yes <input checked="" type="radio"/> No		
<b>6.4a.</b> Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption  Total Number of Exempt Entities: 0		
CSBG Eligible Entity	Description / Justification	Delete

6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period			
Year One	85%	Year Two	90%
<i>Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.</i>			

## Section 7: State Use of Funds

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>		<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires: 08/30/2024</b>	
<b>SECTION 7</b> <b>State Use of Funds</b>			
<b>Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]</b>			
<b>7.1. Formula:</b> Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.			
<input type="radio"/> Historic			
<input type="radio"/> Base + Formula			
<input checked="" type="radio"/> Formula Alone			
<input type="radio"/> Formula with Variables			
<input type="radio"/> Hold Harmless + Formula			
<input type="radio"/> Other			
<b>7.1a. Formula Description:</b> Describe the current practice for allocating CSBG funds to eligible entities. Funds are allocated in proportion to the size of the poverty population served by the agency when compared to the size of the poverty level population and available resources in the state.			
<b>7.1b. Statute:</b> Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities? <input checked="" type="radio"/> Yes <input type="radio"/> No			
<b>7.2. Planned Allocation:</b> Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than of 90 percent funds" as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.			
Note: This information pre-populates the state's Annual Report, Module 1, Table E.2.			
Year One	95.00%	Year Two	95.00%
<b>Planned CSBG 90 Percent Funds</b>			
CSBG Eligible Entity	Year One Funding Amount \$	Delete	
Alabama Council on Human Relations, Inc.	\$411,430		
Community Action Agency of South Alabama	\$927,257		
Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	\$262,323		
Eleventh Area of Alabama Opportunity Action Committee, Inc.	\$592,904		
Community Action of Etowah County, Inc.	\$283,483		
Southeast Alabama Community Action Partnership, Inc.	\$618,314		
Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	\$788,334		
Macon Russell Community Action Agency, Inc.	\$280,103		
Mobile Community Action, Inc.	\$1,324,287		
Montgomery Community Action Committee & CDC, Inc.	\$681,004		
Community Action Partnership of North Alabama, Inc.	\$748,406		
Community Action Agency of Northeast Alabama, Incorporated	\$2,651,573		
Community Action Agency of Northwest Alabama, Inc.	\$498,986		
Organized Community Action Program Inc.	\$602,050		
Pickens County Community Action Committee, and Community Development Corporation, Inc.	\$87,621		
Community Action Agency of TCRCC	\$762,164		
Walker County Community Action Agency, Inc.	\$204,463		
Community Service Programs of West Alabama, Inc.	\$1,237,239		
<b>Total</b>	<b>\$12,961,941</b>		
<b>CSBG Eligible Entity Year Two</b>			
CSBG Eligible Entity	Year Two Funding Amount \$	Delete	
Alabama Council on Human Relations, Inc.	\$411,430		

Community Action Agency of South Alabama	\$927,257
Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	\$262,323
Eleventh Area of Alabama Opportunity Action Committee, Inc.	\$592,904
Community Action of Etowah County, Inc.	\$283,483
Southeast Alabama Community Action Partnership, Inc.	\$618,314
Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	\$788,334
Macon Russell Community Action Agency, Inc.	\$280,103
Mobile Community Action, Inc.	\$1,324,287
Montgomery Community Action Committee & CDC, Inc.	\$681,004
Community Action Partnership of North Alabama, Inc.	\$748,406
Community Action Agency of Northeast Alabama, Incorporated	\$2,651,573
Community Action Agency of Northwest Alabama, Inc.	\$498,986
Organized Community Action Program Inc.	\$602,050
Pickens County Community Action Committee, and Community Development Corporation, Inc.	\$87,621
Community Action Agency of TCRCC	\$762,164
Walker County Community Action Agency, Inc.	\$204,463
Community Service Programs of West Alabama, Inc.	\$1,237,239
<b>Total</b>	<b>\$12,961,941</b>

**7.3. Distribution Process:**  
Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

The state allocates 95 percent of its CSBG funds to eligible entities. Prior to receiving the allocation letter, the grant agreements are prepared within 4 to 5 days and include all information except the Grant Budget Amount. When the allocation letter is received, the distribution is calculated for each entity. The amounts are then entered into the grant agreements and a cover letter is developed. This takes approximately 3 to 4 days. After this process, a governor's letter and agency director's letter are developed certifying conditional approval. The letters are forwarded for signatures from the governor and director, which takes approximately 7 to 10 days. Afterwards, a Letter of Condition Approval requesting budget, Beason-Hammon Certification, E-Verify MOU, Disclosure Statement, Signature Certification, and SAM.gov status, is developed for the entities. This takes approximately 1 to 2 days. Entities are given 10 days to provide documentation. During the 10 days the grant agreements are being routed electronically to the unit chief, division director, accounting section, audit section, and the legal section for compliance. Once completed, the grant agreements are printed for the agency director's signature. A summary for state legislators is prepared and once the agency director has signed the grant agreements the Communication and External Affairs Division finalizes summaries, prepares a press release, notifies state legislators of grant awards and assigns a release date. Once documents are received from the entities and after the release date, the signed grant agreements are mailed out to the entities for signatures.

**7.3a Distribution Method:** Select the option below that best describes the distribution method the state uses to issue CSBG funds to eligible entities:

☐ Reimbursement

☐ Advance

☒ Hybrid

☐ Other

All agencies are given the opportunity to request an advance of funds. Some agencies choose reimbursement.

**7.4. Distribution Timeframe:**  
Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ☒ Yes  
☐ No

**7.4a. Distribution Consistency:** If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

*Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.*

**7.5. Distribution of Funds Performance Management Adjustment:**  
Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.

*Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.*

ADECA is able to process contracts within 30 days after award letter is received. There was no feedback from those attending the public hearing.

**Administrative Funds [Section 675C(b)(2) of the CSBG Act]**

*Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.*

**7.6. Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.



Year One (0.00%)	5.00	Year Two (0.00%)	4.50
7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan			
Year One	7.00	Year Two	7.00
7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan			
Year One	4.50	Year Two	4.50
7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.			
Year One (0.00%)	0.00%	Year Two (0.00%)	0.00%
Use of Remainder/Discretionary Funds (See Section 675C(b)(1) of the CSBG Act)			
<i>Note: This response will link to the corresponding assurance, Item 14.2.</i>			
<p><i>If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.</i></p>			
<i>Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.</i>			
Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities	
7.9a. Training/technical assistance to eligible entities	\$0.00	These planned services/activities will be described in State Plan Item 8.1.	
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00		
7.9e. Asset-building programs	\$0.00		
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00		
7.9g. State charity tax credits	\$0.00		
7.9h. Other activities, specify in column 3	\$0.00		
Total	\$0.00		
Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities	
7.9a. Training/technical assistance to eligible entities	\$0.00	These planned services/activities will be described in State Plan Item 8.1.	
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9c. Statewide coordination and communication among eligible entities	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00		
7.9e. Asset-building programs	0		
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00		
7.9g. State charity tax credits	\$0.00		
7.9h. Other activities, specify in column 3	\$0.00		
Total	\$0.00		
7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. <i>[Check all that apply and narrative where applicable]</i>			
<input type="checkbox"/> The state directly carries out all activities (No Partnerships)			
<input type="checkbox"/> The state partially carries out some activities			



<input type="checkbox"/> CSBG eligible entities <i>(if checked, include the expected number of CSBG eligible entities to receive funds)</i>
<input type="checkbox"/> Other community-based organizations
<input type="checkbox"/> State Community Action association
<input type="checkbox"/> Regional CSBG technical assistance provider(s)
<input type="checkbox"/> National technical assistance provider(s)
<input type="checkbox"/> Individual consultant(s)
<input type="checkbox"/> Tribes and Tribal Organizations
<input type="checkbox"/> Other
Note: <i>This response will link to the corresponding CSBG assurance, item 14.2.</i>
<p>7.11. Use of Remainder/Discretionary Funds Performance Management Adjustment:  Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.</p>
Note: <i>This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.</i>
n/a

## Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires: 08/30/2024	
<b>SECTION 8</b> <b>State Training and Technical Assistance</b>			
<b>8.1. Training and Technical Assistance Plan:</b> Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. The T/TA plan should include all planned CSBG T/TA activities funded through the administrative or remainder/discretionary funds of this CSBG award (as reported in Section 7). The CSBG T/TA plan should include training and technical assistance conducted directly by the state or through partnerships (as specified in 8.3). Add a row for each activity: indicate the timeframe; whether it is training, technical assistance, or both; and the topic.			
<i>Note: This information is associated with State Accountability Measure 3Scand pre-populates the Annual Report, Module 1, Table F.1.</i>			
<b>Training and Technical Assistance - Year One</b>			
	Planned Timeframe	Training, Technical Assistance, or Both	Topic
1	Ongoing / Multiple Quarters	Both	Organizational Standards - General
2	Ongoing / Multiple Quarters	Both	Reporting
3	Ongoing / Multiple Quarters	Both	Technology
<b>Training and Technical Assistance - Year Two</b>			
	Planned Timeframe	Training, Technical Assistance, or Both	Topic
1	Ongoing / Multiple Quarters	Both	Organizational Standards - General
2	Ongoing / Multiple Quarters	Both	Reporting
3	Ongoing / Multiple Quarters	Both	Technology
<b>8.1a. Training and Technical Assistance Budget:</b> The planned budget for the training and technical assistance plan <i>(as indicated in the Remainder/Discretionary Funds table in item 7.9):</i>			
Year One	\$0	Year Two	\$0
<b>8.1b. Training and Technical Assistance Collaboration:</b> Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.			
The state in collaboration with the State Association will develop a revised Training and Technical Assistance Plan for the eligible entities based on needs identified in a survey conducted by State Association.			
<b>8.2. Organizational Standards Technical Assistance:</b> Does the state have Technical Assistance Plans (TAPs) in place for all eligible entities with unmet organizational standards, if appropriate? <input type="radio"/> Yes <input checked="" type="radio"/> No			
<i>Note: 8.2 is associated with State Accountability Measure 6Sb. The state should put a TAP in place to support eligible entities with one or more unmet organizational standards.</i>			
<b>8.2a. Address Unmet Organizational Standards:</b> Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. The state will provide technical assistance to agencies with unmet standards within 90 days of a monitoring visit. The State Association will also provide technical assistance to its members to address unmet organizational standards. Once a template is developed the state will create a training and technical assistance plan with the State Association. The state currently participates in the State Association's annual conference and annual board retreat to provide workshops on various topics. The state CSBG staff and State Association staff will meet quarterly to determine the training and technical assistance needed for each agency.			
<b>8.3. Training and Technical Assistance Organizations:</b> Indicate the types of organizations through which the State Plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement. <i>[Check all that apply.]</i>			
<input type="checkbox"/> All T/TA is conducted by the state			
<input type="checkbox"/> CSBG eligible entities <i>(if checked, provide the expected number of CSBG eligible entities to receive funds)</i>			
<input type="checkbox"/> Other community-based organizations			
<input checked="" type="checkbox"/> State Community Action association			
<input type="checkbox"/> Regional CSBG technical assistance provider(s)			
<input type="checkbox"/> National technical assistance provider(s)			
<input type="checkbox"/> Individual consultant(s)			
<input type="checkbox"/> Tribes and Tribal Organizations			
<input type="checkbox"/> Other			
<b>8.4. CSBG-Funded T/TA Performance Management Adjustment:</b> Describe adjustments the state made to the training and technical assistance			

plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

***Note: This information is associated with State Accountability Measures 3Sd may pre-populate the state's annual report form***

The state office will work with the State Association and regional RPIC to coordinate technical assistance. The state will provide training and technical assistance as needed to eligible entities based on review of organizational standards and monitoring visits.

## Section 9: State Linkages and Communication

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No:0970-0382 Expires:08/30/2024
<b>SECTION 9</b> <b>State Linkages and Communication</b>	
<p><i>Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).</i></p>	
<p><b>9.1. State Linkages and Coordination at the State Level:</b> Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). <i>Describe additional information as needed.</i></p>	
<p><i>Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.</i></p>	
<div style="border: 1px solid black; padding: 2px;"><input checked="" type="checkbox"/> State Low Income Home Energy Assistance Program (LIHEAP) office</div>	
<div style="border: 1px solid black; padding: 2px;"><input checked="" type="checkbox"/> State Weatherization office</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> State Temporary Assistance for Needy Families (TANF) office</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> Head Start State Collaboration offices</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> State public health office</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> State education department</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> State Workforce Innovation and Opportunity Act (WIOA) agency</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> State budget office</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> Supplemental Nutrition Assistance Program (SNAP)</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> State child welfare office</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> State housing office</div>	
<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> Other</div>	
<div style="border: 1px solid black; padding: 2px;"></div>	
<p><b>9.2. State Linkages and Coordination at the Local Level:</b> Describe how the state is encouraging partnerships and collaborations at the state level with public and private sector organizations, to assure the effective delivery and coordination of CSBG services to transform low-income communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) – (6)).</p>	
<p><i>Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6., and pre-populates the Annual Report, Module 1, Item G.2.</i></p>	
<p>The state plans to create partnerships with governmental and other social services, especially anti-poverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and to avoid duplication of services.</p>	
<p><b>9.3. Eligible Entity Linkages and Coordination</b></p>	
<p><b>9.3a. State Assurance of Eligible Entity Linkages and Coordination:</b> Describe how the state will assure that eligible entities will partner and collaborate with public and private sector organizations to assure the effective delivery and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)).</p>	
<p><i>Note: This response will link to the corresponding CSBG assurance, item 14.5. and pre-populates the Annual Report, Module 1, Item G.3a.</i></p>	
<p>The state office will assure that the eligible entities coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and to avoid duplication of services. The eligible entities partner with other public and private resources to provide a range of services for individuals and families.</p>	
<p><b>9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:</b> Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.</p>	
<p><i>Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.</i></p>	
<p>The eligible entities will develop linkages to fill identified gaps in the services through referrals and/or case management. Each eligible entity must submit a Community Action Plan (CAP) on an annual basis, which includes information on the programs they offer to assist low-income individuals, low-income families, and their communities.</p>	
<p><b>9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:</b> Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the</p>	

Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? <input checked="" type="radio"/> Yes <input type="radio"/> No			
<b>Note: This response will link to the corresponding CSBG assurance, item 14.5.</b>			
<b>9.4a. WIOA Combined Plan:</b> If the state selected "yes" under item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.			
In accordance with the Community Services Block Grant Act, Alabamas eighteen Community Action Agencies assist in meeting the needs of whole family structures as well as addressing the needs of an individual. Services to individuals and families that are WIOA related include: -Customer/client evaluations and assessments; -Information and referral based on client needs for education, employment or other assistance services (some services and assistance provided in house); -Job readiness and skills counseling; -Limited skill development, computers, day care and others (not all agencies); -Job placement and development with local employers; -Employability skills orientation and classes; -Limited on-the-job training (not all agencies); -Programs for youth and family development; -Day Care and Head Start services (not all agencies); -After school and summer programs for youth; -Transportation (not all agencies); -Emergency and special needs; and -Client/customer case management, follow-up/tracking and results management. Each eligible entity is required to provide a referral to the career centers if any adult residing in the household is unemployed and not enrolled in school.			
<b>9.4b. Employment and Training Activities:</b> If the state selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.			
<b>9.5. Emergency Energy Crisis Intervention:</b> Describe how the state will assure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the state, as required by the assurance under Section 676(b)(6) of the CSBG Act).			
<b>Note: This response will link to the corresponding CSBG assurance, item 14.6.</b>			
All eligible entities in the state administer LIHEAP and have in place provisions for emergency energy assistance. The state LIHEAP office, also part of ADECA's Energy Division, monitors the entities for compliance.			
<b>9.6. Faith-based Organizations, Charitable Groups, Community Organizations:</b> Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act.			
<b>Note: this response will link to the corresponding assurance, item 14.9.</b>			
The state will assure that eligible entities will coordinate and form partnerships with organizations such as faith-based organizations, charitable groups, and community organizations. The submitted CAP includes information on how the entities coordinate with other organizations.			
<b>9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:</b> Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.			
<b>Note: this response will link to the corresponding assurance, item 14.3c.</b>			
The eligible entities will coordinate CSBG funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. CSBG eligible entities operate within a network of local service providers to reduce duplication of effort and to coordinate resources to address various client circumstances. CSBG eligible entities have developed extensive information and referral networks to meet the many needs of the clients seeking services. Through linkages established within the service area individuals and families can be connected to an array of local programs and services to meet the needs of family members.			
<b>9.8. Coordination among Eligible Entities and State Community Action Association:</b> Describe state activities for supporting coordination among the eligible entities and the state community action association.			
<b>Note: This information will pre-populate the Annual Report, Module 1, Item G.5.</b>			
Because the state does not have discretionary funding, we rely on the State Association to coordinate training with the eligible entities. All funded entities are members of the State Association.			
<b>9.9. Communication with Eligible Entities and the State Community Action Association:</b> In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.			
<b>Communication Plan</b>			
Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Biannual	Public Notice	
State Plan Development	Biannual	Email	
Organizational Standards Progress	Monthly	Email	
State Accountability Measures Progress	Annually	Email	
Community Needs Assessments/Community Action Plans	Annually	Email	
State Monitoring Plans and Policies	As needed	Email	
Training and Technical Assistance (T/TA) Plans	Annually	Email	
ROMA and Performance Management	Annually	Email	

State Interagency Coordination	Annually	Email	
CSBG Legislative/Programmatic Updates	As needed	Email	
Tripartite Board Requirements	As needed	Meetings/Presentation	

**9.10. Feedback to Eligible Entities and State Community Action Association:**  
Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.

*Note: This information is associated with State Accountability Measure 5S(iii). and will pre-populate the Annual Report, Module 1, Item G.6*

The state will provide feedback to local entites and State Associations regarding performance on State Accountability Measures annually. The state will also share the annual report with the eligible entities and the State Association.

**9.11. Communication Plan Performance Management Adjustment:**  
Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

*Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.*

The state will continue to make improvements on communications based on the latest ACSI results.

## Section 10: Monitoring, Corrective Action, and Fiscal Controls

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>						<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires:08/30/2024</b>	
<b>SECTION 10</b> <b>Monitoring, Corrective Action, and Fiscal Controls</b>							
<b>Monitoring, Corrective Action and Fiscal Controls</b> <b>(Section 678B(a) of the Act )</b>							
<b>10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.</b>							
<b>This is an estimated schedule to assist states in planning. States may indicate "no review" for entities the state does not plan to monitor in the performance period.</b>							
<b><i>Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.</i></b>							
	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Alabama Council on Human Relations, Inc.	Other	Desk Review	FY1 Q4	12/06/2021	12/09/2021	Annual review of organizational standards
2	Community Action Agency of South Alabama	Other	Desk Review	FY1 Q4	08/17/2021	08/19/2021	Annual review of organizational standards
3	Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	Other	Desk Review	FY1 Q4	06/07/2022	06/09/2022	Annual review of organizational standards
4	Eleventh Area of Alabama Opportunity Action Committee, Inc.	Other	Desk Review	FY1 Q4	06/21/2022	06/23/2022	Annual review of organizational standards
5	Community Action of Etowah County, Inc.	Other	Desk Review	FY1 Q4	01/28/2021	03/04/2021	Annual review of organizational standards
6	Southeast Alabama Community Action Partnership, Inc.	Other	Desk Review	FY1 Q4	08/15/2022	08/18/2022	Annual review of organizational standards
7	Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	Other	Desk Review	FY1 Q4	03/21/2022	03/24/2022	Annual review of organizational standards
8	Macon Russell Community Action Agency, Inc.	Other	Desk Review	FY1 Q4	05/03/2022	05/04/2022	Annual review of organizational standards
9	Mobile Community Action, Inc.	Full On-site	Onsite Review	FY1 Q2	03/10/2020	03/11/2020	
10	Montgomery Community Action Committee & CDC, Inc.	Other	Desk Review	FY1 Q4	09/27/2022	09/29/2022	Annual review of organizational standards
11	Community Action Partnership of North Alabama, Inc.	Full On-site	Onsite Review	FY1 Q2	10/13/2020	10/15/2020	
12	Community Action Agency of Northeast Alabama, Incorporated	Full On-site	Onsite Review	FY1 Q1	11/13/2018	11/14/2018	
13	Community Action Agency of Northwest Alabama, Inc.	Other	Desk Review	FY1 Q4	07/19/2022	07/20/2022	Annual review of organizational standards
14	Organized Community Action Program Inc.	Full On-site	Onsite Review	FY1 Q3	08/24/2020	08/28/2020	
15	Pickens County Community Action Committee, and Community Development	Full On-site	Onsite Review	FY1 Q3	08/24/2020	08/28/2020	

	Corporation, Inc.						
16	Community Action Agency of TCRCC	Other	Desk Review	FY1 Q4	04/05/2021	04/30/2021	Annual review of organizational standards
17	Walker County Community Action Agency, Inc.	Full On-site	Onsite Review	FY1 Q1	11/19/2019	11/20/2019	
18	Community Service Programs of West Alabama, Inc.	Full On-site	Onsite Review	FY1 Q1	12/09/2019	12/10/2019	
	<b>CSBG Eligible Entity</b>	<b>Monitoring Type</b>	<b>Review Type</b>	<b>Target Quarter</b>	<b>Start Date of Last Full Onsite Review</b>	<b>End Date of Last Full Onsite Review</b>	<b>Brief Description of "Other"</b>
1	Alabama Council on Human Relations, Inc.	Full On-site	Onsite Review	FY2 Q1	12/06/2021	12/09/2021	
2	Community Action Agency of South Alabama	Full On-site	Onsite Review	FY2 Q2	08/17/2021	08/19/2021	
3	Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa	Other	Desk Review	FY2 Q4	06/07/2022	06/09/2022	Annual review of organizational standards
4	Eleventh Area of Alabama Opportunity Action Committee, Inc.	Other	Desk Review	FY2 Q4	06/21/2023	06/23/2022	Annual review of organizational standards
5	Community Action of Etowah County, Inc.	Full On-site	Onsite Review	FY2 Q2	01/28/2021	03/04/2021	
6	Southeast Alabama Community Action Partnership, Inc.	Other	Desk Review	FY2 Q4	08/15/2022	08/18/2022	Annual review of organizational standards
7	Community Action Partnership Huntsville Madison and Limestone Counties, Inc.	Other	Desk Review	FY2 Q4	03/21/2022	03/24/2022	Annual review of organizational standards
8	Macon Russell Community Action Agency, Inc.	Other	Desk Review	FY2 Q4	05/03/2022	05/04/2022	Annual review of organizational standards
9	Mobile Community Action, Inc.	Other	Desk Review	FY2 Q4	03/10/2020	03/11/2020	Annual review of organizational standards
10	Montgomery Community Action Committee & CDC, Inc.	Other	Desk Review	FY2 Q4	09/27/2022	09/29/2022	Annual review of organizational standards
11	Community Action Partnership of North Alabama, Inc.	Other	Desk Review	FY2 Q4	10/13/2020	10/15/2020	Annual review of organizational standards
12	Community Action Agency of Northeast Alabama, Incorporated	Other	Desk Review	FY2 Q4	11/13/2018	11/14/2018	Annual review of organizational standards
13	Community Action Agency of Northwest Alabama, Inc.	Other	Desk Review	FY2 Q4	07/19/2022	07/20/2022	Annual review of organizational standards
14	Organized Community Action Program Inc.	Other	Desk Review	FY2 Q4	08/24/2020	08/28/2022	Annual review of organizational standards
15	Pickens County Community Action Committee, and Community Development Corporation, Inc.	Other	Desk Review	FY2 Q4	08/24/2020	08/28/2022	Annual review of organizational standards
16	Community Action Agency of TCRCC	Other	Desk Review	FY2 Q4	04/05/2021	04/30/2021	Annual review of organizational standards
17	Walker County Community Action Agency, Inc.	Other	Desk Review	FY2 Q4	11/19/2019	11/20/2019	Annual review of organizational standards
	Community Service Programs of	Other	Desk Review	FY2 Q4	12/09/2019	12/10/2019	Annual



18	West Alabama, Inc.						review of organizational standards
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**10.2. Monitoring Policies:**  
Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.

see attached

**10.3. Initial Monitoring Reports:**  
According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

*Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state's annual report form.*

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**Corrective Action, Termination and Reduction of Funding and Assurance Requirements  
(Section 678C of the Act )**

**10.4. Closing Findings:**  
Are state procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? ☒ Yes ☐ No

**10.4a. Closing Findings Procedures:** If no describe state procedures for addressing eligible entity findings/deficiencies, and documenting the closure of findings.

**10.5. Quality Improvement Plans (QIPs):**  
Provide the number of eligible entities currently on QIPs, if applicable.

*Note: The QIP information is associated with State Accountability Measures 4Sc.*

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**10.6. Reporting of QIPs:**  
Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

*Note: This item is associated with State Accountability Measures 4Sa(iii).*

The state will notify its regional OCS representative of the QIP by email within 30 days of approving the QIP. A copy of the QIP will be included in the email.

**10.7. Assurance on Funding Reduction or Termination:**  
The state assures,"that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided inSection 678C(b)" per Section 676(b)(8). ☒ Yes ☐ No

*Note: This response will link with the corresponding assurance under item 14.8.*

**Policies on Eligible Entity Designation, De-designation, and Re-designation**

**10.8. Eligible Entity Designation:** Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes ☒ No

**10.8a. New Designation Citation:** If yes, provide the citation(s) of the law and/or regulation.

**10.8b. New Designation Procedures:** If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public

The State CSBG statute and/or regulations does not provide for the designation of new eligible entities. The State uses guidance provided through the Office of Community Services' CSBG IM No. 116 Corrective Action, Termination, or Reduction of Funding; however, it intends to develop more detailed procedures for the process of designating new eligible entities when necessary.

**10.9. Eligible Entity Termination:** Do State CSBG statute and/or regulations provide for termination of eligible entities ☐ Yes ☒ No

**10.9a. Termination Citation:** If yes, provide the citation(s) of the law and/or regulation.

**10.9b. Termination Procedures:** If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public

The State CSBG statute and/or regulations does not provide for the termination of new eligible entities. The State uses guidance provided through the Office of Community Services' CSBG IM No. 116 Corrective Action, Termination, or Reduction of Funding; however, it intends to develop more detailed procedures for the process of designating new eligible entities when necessary.

**10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?** ☐ Yes ☒ No

**10.10a. If Yes, provide the citation(s) of the law and/or regulation.**

**10.10b. If No, describe State procedures for re-designation of existing eligible entities.**  
The State CSBG statute and/or regulations does not provide for the termination of new eligible entities. The State uses guidance provided through the Office of Community Services' CSBG IM No. 116 Corrective Action, Termination, or Reduction of Funding; however, it intends to develop more detailed procedures for the process of designating new eligible entities when necessary.

**Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:**

Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The state has established appropriate fiscal controls and accounting procedures that permit the accurate and timely preparation of the SF-425. The SF-425 is reconciled with reports and reviewed prior to submission.

**10.12. Single Audit Management Decisions:**

Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

**Note: This information is associated with State Accountability Measure 4Sd.**

ADECA has a computerized Audit Management System to keep up with our subrecipients and whether they have sent us their Single Audit nine months after the end of the award period. The ADECA Audit Section also verifies that all required Single Audits have been submitted to Federal Audit Clearinghouse. If the Audit Section has not received Single Audit from entities required to submit one, we contact the entity by email or phone. ADECA has a computerized Single Audit due date report that is also used to verify receipt of Single Audits. After receiving a Single Audit, Audit Section logs it in and puts it into a report folder for further review. We have a checklist to verify that the Single Audit meets 2 CFR 200 Uniform Guidance requirements. We review any findings to determine if further follow-up is required. We determine if an entity has reported all expenditures for an award or if they must send us a refund check. The Audit Manager will send a letter to an entity after the review of a Single Audit is completed to let them know if they must complete any additional actions. ADECA Division Chief also gets a copy of the letter.

**10.13. Assurance on Federal Investigations:**

The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. ☒ Yes ☐ No

**Note: This response will link with the corresponding assurance, Item 14.7.**

10.13a. Federal Investigations Policies: Are state procedures for permitting and cooperating with federal investigations included in the state monitoring policies attached under 10.2? ☐ Yes ☒ No

10.13b. Closing Findings Procedures: If no, describe state procedures for permitting and cooperating with federal investigations.

the state will permit and cooperate with any federal investigations.

**10.14. Monitoring Procedures Performance Management Adjustment:**

Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

**Note: This item is associated with State Accountability Measure 4Sh and may pre-populate the state's annual report form.**

No adjustments were made to the monitoring process. State staff reviewed responses from the ACIS survey and determined adjustments were not needed.

## Section 11: Eligible Entity Tripartite Board

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires: 08/30/2024</b>
<b>SECTION 11</b> <b>Eligible Entity Tripartite Board</b>	
<b>11.1. Tripartite Board Verification:</b> Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act <i>[Check all that applies and narrative where applicable]</i>	
<input checked="" type="checkbox"/> <b>Attend Board meetings</b>	
<input checked="" type="checkbox"/> <b>Organizational Standards Assessment</b>	
<input checked="" type="checkbox"/> <b>Monitoring</b>	
<input checked="" type="checkbox"/> <b>Review copies of Board meeting minutes</b>	
<input checked="" type="checkbox"/> <b>Track Board vacancies/composition</b>	
<input checked="" type="checkbox"/> <b>Other</b> The State will review copies of Board meeting minutes, track Board vacancies/composition, and review bylaws to ensure that the procedures for filling board positions meet the requirement and intent of the CSBG Act as part of the monthly desk reviews. Eligible entities are required to include Board documents in the statewide data system that is reviewed in conjunction with regular on site monitoring and training.	
<b>11.2. Tripartite Board Updates:</b> Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc., <i>[Select one and narrative where applicable]</i>	
<input type="radio"/> Annually	
<input type="radio"/> Semiannually	
<input type="radio"/> Quarterly	
<input type="radio"/> Monthly	
<input checked="" type="radio"/> As it Occurs	
<input type="radio"/> Other	
<b>11.3. Tripartite Board Representation Assurance:</b> Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act	
<i><b>Note: This response will link with the corresponding assurance, item 14.10.</b></i>	
The State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities Tripartite Board. The State will review the eligible entities policies and procedures during regular on-site monitoring.	
<b>11.4. Tripartite Board Alternative Representation:</b> Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. <input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>11.4a. Tripartite Board Alternative Mechanism:</b> If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.	

## Section 12: Individual and Community Eligibility Requirements

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> Administration for Children and Families Community Services Block Grant (CSBG)	<b>Form Approved</b> OMB No: 0970-0382 Expires: 08/30/2024
<b>SECTION 12</b> <b>Individual and Community Income Eligibility Requirements</b>	
<b>12.1. Required Income Eligibility:</b> Provide the income eligibility threshold for services in the state. <i>[Check one item below.]</i>	
<input checked="" type="radio"/> 125% of the HHS poverty line <input type="radio"/> X% of the HHS poverty line (fill in the threshold) <input type="radio"/> Varies by eligible entity	
0%	<b>% [Response Option: numeric field]</b>
<b>12.1a. Income Eligibility Policy and Procedures:</b> Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.  See page 16 of the State CSBG Policies and Procedures Manual - The state requires each entity to verify and maintain in their records documentation validating income for each household member. Treatment of income and household composition follows same procedure as LIHEAP which is also administered through ADECA. Assistance is provided for individuals and families having income at or below one hundred twenty-five percent (125%) of the poverty income level as allowed in the statute, unless changed by subsequent legislation.	
<b>12.2. Income Eligibility for General/Short-Term Services:</b> Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.  See page 16 of the State CSBG Policies and Procedures Manual - The state requires income verification for all CSBG services. In the event, income verification is not possible the entities contact the state office for guidance.	
<b>12.3. Community-targeted Services:</b> Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).  The state requires each entity to complete a comprehensive needs assessment at least every three years to determine services to be administered by the entity. Each year the entities are required to submit a Community Action Plan (CAP) for use of CSBG funds describing services provided and partnerships developed.	

## Section 13: Results Oriented Management and Accountability (ROMA) System

<p><b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>  <b>Administration for Children and Families</b>  <b>Community Services Block Grant (CSBG)</b></p>	<p>Form Approved  OMB No: 0970-0382  Expires: 08/30/2024</p>
<p><b>SECTION 13</b>  <b>Results Oriented Management and Accountability (ROMA) System</b></p>	
<p><b>13.1. Performance Measurement System:</b>  Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.</p>	
<p><i><b>Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.</b></i></p>	
<p><input checked="" type="radio"/> The Results Oriented Management and Accountability (ROMA) System</p>	
<p><input type="radio"/> Another performance management system that meets the requirements by Section 678E(b) of the CSBG Act</p>	
<p><input type="radio"/> An alternative system for measuring performance and results</p>	
<p><b>13.1a. ROMA Description:</b> If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.</p>	
<p>see attached</p>	
<p><b>13.1b. Alternative System Description:</b> If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.</p>	
<p><b>13.2. Outcome Measures:</b> Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.</p>	
<p><i><b>Note: This response will also link to the corresponding assurance, Item 14.12.</b></i></p>	
<p><input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs)</p>	
<p><input type="checkbox"/> NPIs and others</p>	
<p><input type="checkbox"/> Others</p>	
<p>The state will utilize the CSBG National Performance Indicators to measure eligible entity performance. The eligible entities shall utilize the statewide data system to report all agency-wide unduplicated individual and household characteristics, demographics, and outcomes in the system. On a quarterly basis the state generates reports from the system to verify the information entered by the eligible entities is correct and complete.</p>	
<p><b>13.3. Eligible Entity Support:</b> Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.</p>	
<p><i><b>Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.</b></i></p>	
<p>The state currently has a ROMA Implementor on staff to provide assistance as needed. The State Association has a ROMA Trainer on staff also. The statewide system includes the use of Logic Models, Matrices, and the tracking of services and outcomes. The state provides technical assistance on an on-going basis for the data system.</p>	
<p><b>13.4. Eligible Entity Use of Data:</b>  Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?</p>	
<p><i><b>Note: This response will also link to the corresponding assurance, Item 14.12.</b></i></p>	
<p>As part of the CAP, the eligible entities must input their programs for the upcoming year into the data system. As part of reviewing the quarterly reports the state staff reviews the targets that were set as well as the completed outcomes to survey the progress of the programs. By doing this on a quarterly basis, the eligible entities have a chance to review and make any needed adjustments to the program.</p>	
<p><b>Community Action Plans and Needs Assessments</b></p>	
<p><b>13.5. Community Action Plan:</b> Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.</p>	
<p><i><b>Note: this response will link to the corresponding assurance, Item 14.11.</b></i></p>	
<p>As a condition of receipt of CSBG funding, each eligible entity must submit a Community Action Plan. The state provides a template for the entities to use. The state requires information for each program that meets the goals of the entity. The entity must provide the following: 1) Program Name; 2) how the CSBG funds will be used to support the program; 3) the number of participants expected to enroll in the program; 4) the number of participants expected to achieve an outcome; 5) the number of services each program will provide; 6) a list of partners; 7) any community initiatives the entity is involved in. The CAP also contains information on community assessment, service delivery, linkages, planned expenditures by categories, board roster, schedule of board meetings, agency closing days, organization chart, goal for organizational standards, line, item budget, and all required signed assurances.</p>	
<p><b>13.6. Community Needs Assessment:</b>  Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.</p>	
<p><i><b>Note: this response will link to the corresponding assurance, Item 14.11.</b></i></p>	

As part of the review of Organizational Standards the state will assure that each entity includes a copy of their community assessment as required by Section 676(b)(11) of the CSBG Act.

## Section 14: CSBG Programmatic Assurances and Information Narrative

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration for Children and Families</b> <b>Community Services Block Grant (CSBG)</b>	<b>Form Approved</b> <b>OMB No: 0970-0382</b> <b>Expires: 08/30/2024</b>
<b>SECTION 14</b> <b>CSBG Programmatic Assurance and Information Narrative</b> <b>(Section 676(b) of the CSBG Act)</b>	
<b>14.1 Use of Funds Supporting Local Activities</b>	
<b>CSBG Services</b>	
<b>14.1a. 676(b)(1)(A): Describe how the state will assure "that funds made available through grant or allotment will be used -</b>	
<p>(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals—</p> <ul style="list-style-type: none"><li>(i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);</li><li>(ii) to secure and retain meaningful employment;</li><li>(iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;</li><li>(iv) to make better use of available income;</li><li>(v) to obtain and maintain adequate housing and a suitable living environment;</li><li>(vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;</li><li>(vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –</li></ul> <p>(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and</p> <p>(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;</p>	
The State reviews the CAPs submitted annually by the eligible entities to assure that planned activities are designed to meet the requirements of section 676(b) (1) (A) of the CSBG Act.	
<b>Needs of Youth</b>	
<b>14.1b. 676(b)(1)(B) Describe how the state will assure "that funds made available through grant or allotment will be used -</b>	
<p>(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as—</p> <ul style="list-style-type: none"><li>(i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and</li><li>(ii) after-school child care programs;</li></ul>	
The State reviews the CAPs submitted annually by the eligible entities to assure that planned activities are designed to meet the needs of youth.	
<b>Coordination of Other Programs</b>	
<b>14.1c. 676(b)(1)(C) Describe how the state will assure "that funds made available through grant or allotment will be used -</b>	
<p>(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including state welfare reform efforts)</p>	
The State reviews the CAPs submitted annually by the eligible entities to assure that planned activities are designed to meet the requirements of section 676(b) (1) (C) of the CSBG Act.	
<b>State Use of Discretionary Funds</b>	
<b>14.2 676(b)(2) Describe "how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the state will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."</b>	
<i>Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.</i>	

### Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the state, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the state;

As part of the CAP submitted annually by each entity, the entities describe how they assess and address the participant's needs, describe their outreach methods, describe their Information and Referral System, and how ROMA is used to improve service delivery.

### Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

*Note: The state describes this assurance in the state linkages and communication section, item 9.3b.*

The eligible entities will develop linkages to fill identified gaps in the services through referrals and/or case management. Each eligible entity must submit a Community Action Plan (CAP) on an annual basis, which includes information on the programs they offer to assist low-income individuals, low-income families, and their communities.

### Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."

*Note: The state describes this assurance in the state linkages and communication section, item 9.7.*

The eligible entities will coordinate CSBG funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. CSBG eligible entities operate within a network of local service providers to reduce duplication of effort and to coordinate resources to address various client circumstances. CSBG eligible entities have developed extensive information and referral networks to meet the many needs of the clients seeking services. Through linkages established within the service area individuals and families can be connected to an array of local programs and services to meet the needs of family members.

### Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

*Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).*

As part of the CAP submitted annually by each entity, the entities provide information on any community initiatives that are planned or active.

### Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the state will assure "that eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."

The state reviews the CAP submitted by each entity to assure that "eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition amongst low-income individuals."

### State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

14.5. 676(b)(5) Describe how the state will assure "that the state and eligible entities in the state will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the state and in communities with entities providing activities through statewide and local workforce development systems under such Act."

*Note: The state describes this assurance in the state linkages and communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.*

### State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(6) Provide "an assurance that the state will ensure coordination between antipoverty programs in each community in the state, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."

*Note: The state describes this assurance in the state linkages and communication section, items 9.2 and 9.5.*



<b>Federal Investigations</b>
14.7. 676(b)(7) Provide "an assurance that the state will permit and cooperate with Federal investigations undertaken in accordance with section 678D." Yes
<i>Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.</i>
<b>Funding Reduction or Termination</b>
14.8. 676(b)(8) Provide "an assurance that any eligible entity in the state that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)." Yes
<i>Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.</i>
<b>Coordination with Faith-based Organizations, Charitable Groups, Community Organizations</b>
14.9. 676(b)(9) Describe how the state will assure "that the state and eligible entities in the state will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the state, including religious organizations, charitable groups, and community organizations."
<i>Note: The state describes this assurance in the state Linkages and Communication section, item 9.6.</i>
<b>Eligible Entity Tripartite Board Representation</b>
14.10. 676(b)(10) Describe how "the state will require each eligible entity in the state to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."
<i>Note: The state describes this assurance in the Eligible Entity Tripartite Board section, 11.3.</i>
The State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities Tripartite Board. The State will review the eligible entities policies and procedures during regular on-site monitoring.
<b>Eligible Entity Community Action Plans and Community Needs Assessments</b>
14.11. 676(b)(11) Provide "an assurance that the state will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."
<i>Note: The state describes this assurance in the ROMA section, items 13.5 and 13.6.</i>
<b>State and Eligible Entity Performance Measurement: ROMA or Alternate system</b>
14.12. 676(b)(12) Provide "an assurance that the state and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."
<i>Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.</i>
<b>Validation for CSBG Eligible Entity Programmatic Narrative Sections</b>
14.13. 676(b)(13) Provide "information describing how the state will carry out the assurances described in this section."
<i>Note: The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.</i>
<input checked="" type="checkbox"/> By checking this box, the state CSBG authorized official is certifying the assurances set out above.

## Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No:0970-0382  
Expires:08/30/2024

### SECTION 15 Federal Certifications

#### 15.1. CERTIFICATION REGARDING LOBBYING

##### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

##### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The box after each certification must be checked by the state CSBG authorized official.

15.1. Lobbying

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

## 15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

### Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or state highway department while in operation, state employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

**Controlled substance** means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);.

**Conviction** means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes;

**Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

**Employee** means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant

and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

#### **Certification Regarding Drug-Free Workplace Requirements**

##### **Alternate I. (Grantees Other Than Individuals)**

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about--

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

## Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

### 15.2. Drug-Free Workplace Requirements

After assurance select a check box:

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.

### 15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

#### Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

##### Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly

enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -  
Primary Covered Transactions**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the

statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -  
Lower Tier Covered Transactions**

***Instructions for Certification***

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from



participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**15.3. Debarment**

After assurance select a check box:

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.

**15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through state or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

**15.4. Environmental Tobacco Smoke**

After assurance select a check box:

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.

**THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)**

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.